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## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Douglas P. Brown et al.

§ Group Art Unit: 2171

Serial No.: 09/977,038

§

Filed: October 12, 2001

§ Examiner:

For: Index Selection in a Database System

§ Atty. Dkt. No.: 10150 (NCR.0063US)

§

Box Missing Parts

Commissioner for Patents

Washington DC 20231

RESPONSE TO "NOTICE OF INCOMPLETE  
REPLY (NONPROVISIONAL)"

Dear Sir:

Two separate Responses to Notice to File Missing Parts were filed with the U.S. Patent Office in this case. On January 8, 2002 the Declaration with Power of Attorney executed by Manjula Koppuravuri was filed, and on January 23, 2002, formal drawings were submitted, both in response to the Notice to File Missing Parts. Copies of the Responses, along with stamped postcards indicating receipt by the U.S. Patent Office, are submitted herewith.

The missing declaration with Manjula Koppuravuri's signature was submitted on January 8, 2002, well within the two-month deadline of the original Notice. The formal drawings were submitted on January 23, 2002, with the appropriate authorization to charge the deposit account for the one-month extension of time fee.

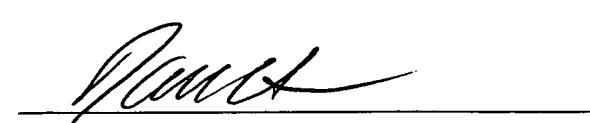
Therefore, all items requested by the Notice of Missing Parts mailed on November 21, 2001 have been submitted in this case.

It is respectfully requested that the Notice of Incomplete Reply dated March 18, 2002 be withdrawn. Please apply any charges and/or credits to Deposit Account 50-1673 (10150). A duplicate of this paper is attached.

Date of Deposit: <u>April 11, 2002</u>
I hereby certify under 37 CFR 1.8(a) that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage on the date indicated above and is addressed to the Commissioner for Patents, Washington DC 20231.
Dawn L. Thomas

Respectfully submitted,

Date: Apr. 1, 2002



Dan C. Hu  
Registration No. 40,025  
TROP, PRUNER & HU, P.C.  
8554 Katy Freeway, Suite 100  
Houston, Texas 77024  
(713) 468-8880 [Phone]  
(713) 468-8883 [Fax]

RECEIVED  
MAR 27 2002

Trop, Pruner, & Hu, P.C.



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
[www.uspto.gov](http://www.uspto.gov)

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/977,038	10/12/2001	Douglas P. Brown	10150 (NCRC-0063-US)

**DOCKET INFORMATION**

John D. Cowart  
NCR Corporation  
Law Department IP WHQ-4W  
1700 S. Patterson Blvd.  
Dayton, OH 45479

Base Rate: 1/1-2/02  
Due Date: 4-2-02 (3 mo. ext.)  
Action: Response to Missing Parts &  
Corrected Drawings Due

**CONFIRMATION NO. 3717**

**FORMALITIES LETTER**

Docket     Excel     Access  
 Pat. App     Abst. Title Pg     Draw. Mst

Date Mailed: 03/18/2002



**NOTICE OF INCOMPLETE REPLY (NONPROVISIONAL)**

***Filing Date Granted***

The U.S. Patent and Trademark Office has received your reply on 02/13/2002 to the Notice to File Missing Parts (Notice) mailed 11/21/2001 and it has been entered into the nonprovisional application. The reply, however, does not include the following items required in the Notice.

The period of reply remains as set forth in the Notice. You may, however, obtain EXTENSIONS OF TIME under the provisions of 37 CFR 1.136 (a) accompanied by the appropriate fee (37 CFR 1.17(a)).

A complete reply must be timely filed to prevent ABANDONMENT of the above-identified application.

The required items noted below SHOULD be filed along with any items required above. The filing date of this nonprovisional application will be the date of receipt of the items required above.

- The signature of the following inventor(s) is missing from the oath or declaration:  
*Manjula Koppuravuni*

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. (5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

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*A copy of this notice MUST be returned with the reply.*

Page 2 of 2

*K. Lee*

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Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 1 - ATTORNEY/APPLICANT COPY



**RECEIVED IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

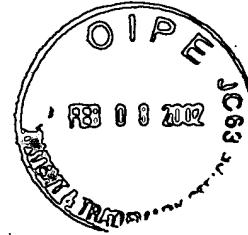
Attorney Docket No.: NRC.0063US (10150)  
Date: January 8, 2002

DCH/lo

The Patent and Trademark Office date stamp sets forth the receipt date of the following documents in the below referenced patent application identified as follows:

Applicant(s): DOUGLAS P. BROWN, JEETENDRA CHaware AND MANJULA KOPPURAVURI  
Serial No.: 09/977,038  
Filing Date: October 12, 2001  
Title: INDEX SELECTION IN A DATABASE SYSTEM

1. Response To Notice To File Missing Parts (In Duplicate) (no check);
2. Copy Of Notice To File Missing Parts;
3. Declaration (Signed By Koppuravuri);
4. Assignment (Signed By Koppuravuri);
5. Assignment Recordation Form Coversheet (In Duplicate) (no check); and
6. Postcard.



**Response To Notice To File Missing Parts Of Application  
Filing Date Granted (PTO-1533)(Large Entity)**

Docket No.  
**10150 (NRC0063US)**

In Re Application Of: **Douglas P. Brown, Jeetendra Chaware and Manjula Koppuravuri**

Serial No.  
**09/977,038**

Filing Date  
**October 12, 2001**

Examiner

Group Art Unit  
**2171**

Invention: **Index Selection in a Database System**



**TO THE ASSISTANT COMMISSIONER FOR PATENTS:**

**Box Missing Parts**

This is a response to the Notice to File Missing Parts of Application - Filing Date Granted (PTO-1533) mailed on  
**November 21, 2001**  
*Date*

Enclosed herewith for filing are the following:

- A copy of the Notice to File Missing Parts of Application - Filing Date Granted (PTO-1533). (**REQUIRED**)
- An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date.
- A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date.
- An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date.
- A verified English translation of the non-English language application papers as originally filed. It is requested that this translation be used as the copy for examination purposes in the United States Patent and Trademark Office.
- Other (list):

**Assignment  
Recordation Form Coversheet**

**Response To Notice To File Missing Parts Of Application  
Filing Date Granted (PTO-1533)(Large Entity)**

Docket No.  
**10150 (NRC0063US)**

In Re Application Of: **Duglas P. Brown, Jeetendra Chaware and Manjula Koppuravuri**

Serial No.  
**09/977,038**

Filing Date  
**October 12, 2001**

Examiner

Group Art Unit  
**2171**

Invention: **Index Selection in a Database System**

**TO THE ASSISTANT COMMISSIONER FOR PATENTS:**

**Box Missing Parts**

- Completion of application fees as calculated below:

- Utility application filing fee \_\_\_\_\_
- Design application filing fee \_\_\_\_\_
- Total number of independent claims = \_\_\_\_\_
- Total number of claims = \_\_\_\_\_
- Multiple dependent claims \_\_\_\_\_
- Surcharge for late payment of filing fee and/or late filing of original declaration or oath **\$130.00**
- Petition and fee for filing by other than all the inventors or a person not the inventor \_\_\_\_\_
- Fee for processing an application filed with a non-English language specification \_\_\_\_\_
- Fee for processing and retention of application \_\_\_\_\_

Total completion of application fees **\$130.00**

This is a request under the provisions of 37 CFR 1.136(a) to extend the period for filing a response to the above-identified Notice to File Missing Parts of Application. The requested extension is as follows (check time period desired). If an additional time extension is required, please consider this a petition therefor.

One month       Two months       Three months       Four months       Five months

from: \_\_\_\_\_  
*Date*

until: \_\_\_\_\_  
*Date*

Total time extension fees \_\_\_\_\_

Total fees due **\$130.00**

**Response To Notice To File Missing Parts Of Application  
Filing Date Granted (PTO-1533) (Large Entity)**

Docket No.  
**10150 (NRC0063US)**

In Re Application Of: **Douglas P. Brown, Jeetendra Chaware and Manjula Koppuravuri**

Serial No.  
**09/977,038**

Filing Date  
**October 12, 2001**

Examiner

Group Art Unit  
**2171**

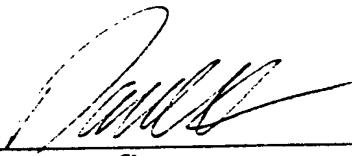
Invention: **Index Selection in a Database System**

**TO THE ASSISTANT COMMISSIONER FOR PATENTS:**

**Box Missing Parts**

The fee of **\$130.00** is to be paid as follows:

- A check in the amount of the fee is enclosed.
- The Commissioner is hereby authorized to charge any fees which may be required, or credit any overpayment, to Deposit Account No. 50-1673 (10150)  
A duplicate copy of this sheet is enclosed.
- If an additional extension of time is required, please consider this a petition therefor and charge any additional fees which may be required to Deposit Account No.  
A duplicate copy of this sheet is enclosed.



*Signature*

**Dated: January 8, 2002**

**Dan C. Hu**  
Reg. N . 40,025  
**Trop, Pruner & Hu, P.C.**  
8554 Katy Freeway, Suite 100  
Houston, TX 77024  
(713) 468-8880 [Phone]  
(713) 468-8883 [Fax]

CC:

I certify that this document and fee is being deposited on Jan. 8, 2002 with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

*Lisa O'Sullivan*  
**Signature of Person Mailing Correspondence**

**Lisa O'Sullivan**  
**Typed or Printed Name of Person Mailing Correspondence**

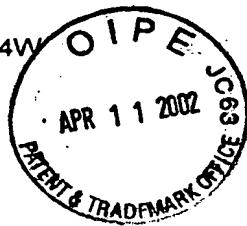


UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
[www.uspto.gov](http://www.uspto.gov)

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/977,038	10/12/2001	Douglas P. Brown	10150 (NCRC-0063-US)

John D. Cowart  
NCR Corporation  
Law Department IP WHQ-4W  
1700 S. Patterson Blvd.  
Dayton, OH 45479



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NOV 27 2001

LAW DEPARTMENT

CONFIRMATION NO. 3717  
FORMALITIES LETTER



OC000000007103545\*

Date Mailed: 11/21/2001

**NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION**

**FILED UNDER 37 CFR 1.53(b)**

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The signature of the following inventor(s) is missing from the oath or declaration:  
*Manjula Koppuravuri*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:

- drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. (5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

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*A copy of this notice **MUST** be returned with the reply.*

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Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



**RECEIVED IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Attorney Docket No.: 10150 (NCRC-0063-US)  
Date: January 23, 2002

DCH/dlt

The Patent and Trademark Office date stamp sets forth the receipt date (or both the receive date and the serial no.) of a patent application identified as follows:

Applicant(s): DOUGLAS P. BROWN et al.  
Serial No.: 09/977,038  
Filing Date: October 12, 2001  
Title: Index Selection in a Database System



1. Response to Notice to File Missing Parts of Nonprovisional Application in duplicate
2. Copy of Notice to File Missing Parts of Nonprovisional Application
3. Petition for Extension of Time
4. 44 Sheets of Formal Drawings, Figs. 1-47
5. Postcard



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Douglas P. Brown et al.

§ Group Art Unit: 2171

Serial No.: 09/977,038

§

§

§ Examiner:

§

§

§

For: Index Selection in a Database System

§ Atty. Dkt. No.: 10150 (NCRC-0063-US)

§

Box Missing Parts  
Commissioner for Patents  
Washington DC 20231

**RESPONSE TO "NOTICE TO FILE MISSING PARTS OF  
NONPROVISIONAL APPLICATION"**

Dear Sir:

A copy of the "Notice to File Missing Parts of Nonprovisional Application" mailed for this application on November 21, 2001, is attached.

In response to the requirements of the Notice, applicant submits herewith 44 sheets of drawings. Please apply any charges or credits to Deposit Account 50-1673 (10150). A duplicate of this paper is attached.

Respectfully submitted,

Date: 1-23-02

Dan C. Hu  
Registration No. 40,025  
TROP, PRUNER & HU, P.C.  
8554 Katy Freeway, Suite 100  
Houston, Texas 77024  
(713) 468-8880 [Phone]  
(713) 468-8883 [Fax]

Date of Deposit	<u>1-23-02</u>
I hereby certify under 37 CFR 1.8(a) that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage on the date indicated above and is addressed to the Commissioner for Patents, Washington DC 20231.	
Dawn L. Thomas	

*Dawn L. Thomas*